



GROUP 3600

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In re Application of: Douglas ELLIOTT
For : METHOD FOR OBTAINING AND ALLOCATING
INVESTMENT INCOME BASED ON THE CAPITALIZATION
OF INTELLECTUAL PROPERTY

U.S. Serial No.: 09/481,126
Filed: January 11, 2000

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Commissioner for Patents
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on May 29, 2004

Angela Wilson

Name: Angela Wilson

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Dear Sir:

Pursuant to the provisions of 37 C.F.R. §1.97, Applicant hereby makes of record the references set forth in the attached Form PTO/SB/08A. No inference should be made that the cited references are in fact material, are in fact prior art or that no better art exists. The cited patents are listed in numerical order and not in any order based on their pertinence.

No representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of this material in any way reflects the relative pertinence. The references cited are not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that the items listed are properly citable against the above-identified application.

It is requested that the Examiner fully consider the cited references and that they be cited on the front of any patent issuing from this application.

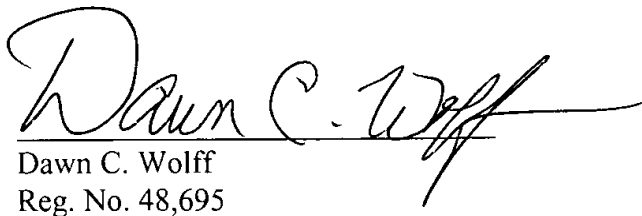
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Respectfully submitted,

STORM & HEMINGWAY, L.L.P.


Dawn C. Wolff
Reg. No. 48,695

5-25-2004
Date

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	09/481,126
Filing Date	1/11/2000
First Named Inventor	Elliott, Douglas
Art Unit	3628
Examiner Name	Harish T. Dass
Attorney Docket Number	TEQ01117PTUS

Sheet 1 of 3

U. S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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Examiner Signature		Date Considered	
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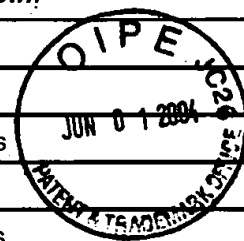
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Attorney Docket Number	TEQ01117PTUS



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RECEIVED**NON PATENT LITERATURE DOCUMENTS**

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Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published.	
	4	THURM, SCOTT, "A Flood of Web Patents Stirs Dispute Over Tactics", The Wall Street Journal, 10/9/1998, pgs. B1, B4.	
	5	FREMGEM, James M., Accounting for Managerial Analysis, 1972, pgs. 388-399, Richard D. Irwin, Inc., Homewood, IL, USA.	
	6	"Industry Trends in Research Support and Links to Public Research" June 25, 1998, National Science Board.	
	7	GRAEF, JEAN, "Measuring Intellectual Assets", Montague Institute Review, March 1997.	
	8	BOWEN, TED SMALLEY, "Aurigin Application Helps Users Get a Grip on Intellectual Assets", 1998, InfoWorld Publishing Co., San Mateo, CA	
	9	BINGAMAN, ANNE, "Antitrust, Innovation and Intellectual Property", presented to the Program on Antitrust & Intellectual Property, 10/7/1994, Stanford Law School, Stanford, CA	
	10	Standard Federal Tax Reports, Section 174, Research Expenditures; Commerce Clearing House, Inc., 1997.	
	11	KLEIN, JOEL I., "Cross-Licensing and Antitrust Law" presented to the American Intellectual Property Law Association on 5/2/1997, San Antonio, Tx, pgs. 4-5.	
	12	CARNEY, ROBERT T. and MCGAVOCK, DANIEL M., "Tax Strategies for Protecting Value of IP", les Nouvelles, March 1997, pp. 21-22.	
	13	SOLT, MICHAEL E., "SWORD Financing of Innovation in the Biotechnology Industry", Financial Management, Summer 1993, v22 n 2, p. 173.	

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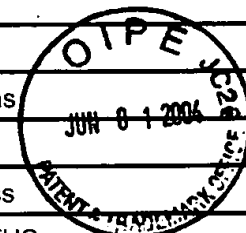
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Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), year of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	
	14	"Managing, Valuing and Protecting Intellectual Assets", Report No. 1182-97-CH, 1997, The Conference Board.	
	15	MCGAVOCK, DANIEL M., and LASINSKI, MICHAEL J., "IP Survey Finds Gap in Information", les Nouvelles, September 1998, p. 113.	
	16	"Industry Trends in Research Support and Links to Public Research" June 25, 1998, National Science Board.	
	17	Trade Regulation Reports, Sections 5080, 5085 & 5100, Patents, Trademarks, Copyrights; Commerce Clearing House, Inc. 1989.	
	18	ORLEANS, G.P., "Pricing Technology Licensing", 1982 Licensing Law Handbook, Ch. 2, pp. 119-131, Clark Boardman Co., Ltd., New York, NY.	
	19	"Antitrust Guidelines for the Licensing of Intellectual Property" April 6, 1995, U.S. Department of Justice & the Federal Trade Commission.	

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